

# FOBO000001915

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(Requestor's Name)

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(Address)

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(Address)

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(City/State/Zip/Phone #)

☐ PICK-UP

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☐ MAIL

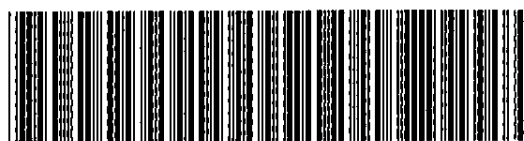
\_\_\_\_\_  
(Business Entity Name)

\_\_\_\_\_  
(Document Number)

Certified Copies \_\_\_\_\_ Certificates of Status \_\_\_\_\_

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04/28/08--01029--002 \*\*70.00

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SECRETARY OF STATE  
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T. Burch APR 29 2008



CORPORATION SERVICE COMPANY

ACCOUNT NO. : 072100000032

REFERENCE : 527451 7484544

AUTHORIZATION :

COST LIMIT : \$ PPD

ORDER DATE : April 14, 2008

ORDER TIME : 10:33 AM

ORDER NO. : 527451-030

CUSTOMER NO: 7484544

FOREIGN FILINGS

NAME: CCO INVESTMENT SERVICES CORP.

XXXX QUALIFICATION (TYPE: CO)

PLEASE RETURN THE FOLLOWING AS PROOF OF FILING:

XX PLAIN STAMPED COPY

CONTACT PERSON: Heather Chapman -- EXT# 2908

EXAMINER: \_\_\_\_\_

**APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT  
BUSINESS IN FLORIDA**

*IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO  
REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.*

1. CCO Investment Services Corp.

(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"  
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)

2. Rhode Island

(State or country under the law of which it is incorporated)

3. 05-0487400

(FEI number, if applicable)

4. September 21, 1995

(Date of incorporation)

5. Perpetual

(Duration: Year corp. will cease to exist or "perpetual")

6. March 03, 1997

(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

53 State Street, 7th Floor

7. Boston, MA 02109

(Principal office address)

53 State Street, 7th Floor, Boston, MA 02109

(Current mailing address)

To act as a broker and dealer in securities To engage in any act or activity for which corporations may be organized.

8. \_\_\_\_\_

(Purpose(s) of corporation authorized in home state or country to be carried out in state of Florida)

9. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: Corporation Service Company

Office Address: 1201 Hays Street

Tallahassee, Florida 32301

(City)

(Zip code)

10. Registered agent's acceptance:

*Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.*

**Heather Chapman  
as its agent**

Corporation Service Company

By: Heather Chapman

(Registered agent's signature)

Ann R. Shilling, Assistant Vice President

11. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

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TALLAHASSEE, FLORIDA

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12. Names and business addresses of officers and/or directors:

**A. DIRECTORS**

Chairman: See attached officers/directors rider

Address: \_\_\_\_\_

Vice Chairman: \_\_\_\_\_

Address: \_\_\_\_\_

Director: \_\_\_\_\_

Address: \_\_\_\_\_

Director: \_\_\_\_\_

Address: \_\_\_\_\_

**B. OFFICERS**

President: See attached officers/directors rider

Address: \_\_\_\_\_

Vice President: \_\_\_\_\_

Address: \_\_\_\_\_

Secretary: \_\_\_\_\_

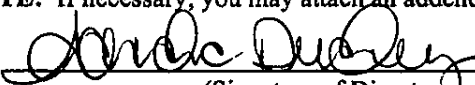
Address: \_\_\_\_\_

Treasurer: \_\_\_\_\_

Address: \_\_\_\_\_

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TALLAHASSEE, FLORIDA

**NOTE:** If necessary, you may attach an addendum to the application listing additional officers and/or directors.

13.   
(Signature of Director or Officer listed in number 12 of the application)

14. Sandra Dudley - Assistant Secretary  
(Typed or printed name and capacity of person signing application)

## OFFICERS/DIRECTORS RIDER

### List of Officers

<b>Name:</b>	David Shore	<b>Title:</b> Secretary
<b>Bus. Addr.:</b>	53 State Street, 7 <sup>th</sup> Floor, Boston, MA 02109	
<b>Name:</b>	Gary Cuccia	<b>Title:</b> Treasurer
<b>Bus. Addr.:</b>	53 State Street, 7 <sup>th</sup> Floor, Boston, MA 02109	
<b>Name:</b>	Kevin L. Fein	<b>Title:</b> Senior Vice President
<b>Bus. Addr.:</b>	53 State Street, 7 <sup>th</sup> Floor, Boston, MA 02109	
<b>Name:</b>	Michael G. Millard	<b>Title:</b> President
<b>Bus. Addr.:</b>	53 State Street, 7 <sup>th</sup> Floor, Boston, MA 02109	
<b>Name:</b>	Sandra Dudney	<b>Title:</b> Assistant Secretary
<b>Bus. Addr.:</b>	910 Douglas Pike, Smithfield, RI 02917	
<b>Name:</b>	Tricia Horter	<b>Title:</b> Assistant Secretary
<b>Bus. Addr.:</b>	910 Douglas Pike, Smithfield, RI 02917	

### List of Directors

<b>Name:</b>	Dana Drago	<b>Term:</b>
<b>Bus. Addr.:</b>	28 State Street, Boston, MA 02109	
<b>Name:</b>	Gary Cuccia	<b>Term:</b>
<b>Bus. Addr.:</b>	53 State Street, 7 <sup>th</sup> Floor, Boston, MA 02109	
<b>Name:</b>	Kevin L. Fein	<b>Term:</b>
<b>Bus. Addr.:</b>	53 State Street, 7 <sup>th</sup> Floor, Boston, MA 02109	
<b>Name:</b>	Michael G. Millard	<b>Term:</b>
<b>Bus. Addr.:</b>	53 State Street, 7 <sup>th</sup> Floor, Boston, MA 02109	

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TALLAHASSEE, FLORIDA

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State of Rhode Island and Providence Plantations

A. Ralph Mollis

Secretary of State

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

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The Office of the Secretary of State of the State of Rhode Island and Providence Plantations, HEREBY CERTIFIES, that

**CCO Investment Services Corp.**

a Rhode Island corporation, filed articles of incorporation in this office on the twenty-first day of September, A.D., 1995; and

IT IS FURTHER CERTIFIED that as of this date said corporation is duly organized and existing under and by virtue of the laws of the State of Rhode Island and is in good standing according to the records of this office.

SIGNED AND SEALED, this fifteenth day  
of April, A.D., 2008.

Secretary of State

